

Project Name:	Department of Energy BMIS-FM
Project Number:	BMIS-FM Phase I
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ASSUMPTIONS AND CONSTRAINTS for

Department of Energy BMIS-FM Project

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Approvals

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Assumptions and Constraints

1. Assumptions¹

1.1. Scope Management

- 1.1.1. All proposed scope changes will be managed via the Change Control Process defined in the Project Scope Management Plan.
- 1.1.2. For purposes of establishing a baseline model to compare proposals from competing vendors, DOE intentionally limited the scope of activities in their Statement of Work (i.e. no customizations, no development of custom reports). The project team has used the SOW as the starting point and primary reference for project planning purposes.
- 1.1.3. The DOE and Team IBM project manager will be responsible for reviewing all scope modifications affecting this project. The DOE project manager is responsible for final disposition of any scope modifications.
- 1.1.4. Both DOE and Team IBM will make every reasonable effort to minimize changes to agreed upon scope.

1.2. Schedule/Time Management

- 1.2.1. All proposed schedule changes would be managed via the Change Control Process defined in the Project Schedule Management Plan.
- 1.2.2. The DOE and Team IBM project manager will be responsible for reviewing schedule modifications affecting this project. The DOE project manager is responsible for final disposition of any schedule modifications.
- 1.2.3. The project will be conducted with DOE resources from a matrixed organization structure. The Department and the project team recognize this increases the complexity of the project planning, execution and control. The DOE and Team IBM project managers are committed to early detection of any problems that may arise. Overlapping resource assignments and training will be used where appropriate, and project resources are encouraged to manage their time carefully in regard to their operational assignments and project activities, and report any conflicting activities to the project managers as early as possible.

1.3. Cost/Budget Management

¹ Assumptions are factors that, for planning purposes, will be considered to be true, real, or certain.

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- 1.3.1. Sufficient capital will be available to fund the *In Scope* items as defined in the Initial Verification of Project Scope. The DOE project manager, who in his capacity as the Contracting Officer's Representative, is responsible for funding modifications, will evaluate additional funding requirements.
- 1.3.2. Team IBM resources will be scheduled, and a detailed project plan and time phased budget developed using Microsoft Project. Subsequent project phases will be more fully planned as planning, analysis and design activities in earlier phases are completed.
- 1.3.3. DOE resource costs will not be tracked in the detailed project plan created by the Team IBM project manager. The Department has established a separate DOE system designed for that purpose.
- 1.3.4. All proposed cost/budget changes will be managed via the Change Control Process as defined in the Project Cost Management Plan.
- 1.3.5. The DOE and Team IBM project manager will be responsible for reviewing all cost/budget changes for this project. The DOE project manager is responsible for final disposition of any project budget modifications.
- 1.3.6. Funding for the project is based on specific performance objectives. Several of these are firm fixed price, and others are time and materials with a not to exceed ceiling. Because of the funding mechanism, specific performance objectives have been initially funded, while others will be fully or partially funded based at a later date.
- 1.3.7. The project team recognizes that, throughout the project lifecycle, tradeoffs between available appropriated funds, available staff and the project schedule must be carefully evaluated and balanced to increase the probability of project success.
- 1.4. Quality Management
 - 1.4.1. The project team will be familiar with the quality standards set forth and documented in the Project Quality Management Plan, or as defined by referenced documents. The project team is expected to follow such standards throughout this project.
 - 1.4.2. Project quality assurance and quality control will be incorporated into the project plan for the duration of the project.
 - 1.4.3. Detailed project, product and functional performance metrics will be developed per performance objective A3.

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- 1.4.4. The DOE and Team IBM project manager will be responsible for reviewing and approving any significant quality modifications or tradeoffs affecting this project.

1.5. Human Resource/Staff Management

- 1.5.1. An initial level of availability has been established for personnel assigned either part or full time to this project, and will be used as the basis for developing the project schedule.
- 1.5.2. Project personnel will have adequate work space to include a desk, chair, LAN link, telephone access, reasonable lighting, and other reasonable building services. Some items, such as a telephone, may need to be shared.
- 1.5.3. Team IBM personnel will provide their own hardware with Ethernet network cards, and an operating system and platform capable of linking to DOE Net. DOE will provide a configuration model (i.e. software, hardware recommendations).
- 1.5.4. DOE is responsible for coordinating and assigning key DOE project personnel as determined by the DOE and Team IBM Project Manager.
- 1.5.5. Personnel will be properly trained on the tools and techniques needed to support this effort.
- 1.5.6. The level of formal and on-the-job training, as well as the investment in time necessary to develop a quality project team requires continuity in staffing. Both the Department and Team IBM have agreed that key resources will be committed to the project for at least one year. A two year commitment is highly desirable.
- 1.5.7. In the event a key resource should leave this project, it is assumed that an equally qualified resource will be assigned as a backfill in order to maintain the schedule of this project.
- 1.5.8. Upon completion of each project phase, staff will transition to the next phase of the project (if a follow-on phase exists), return to their previous work on a full time basis, or be reassigned to other efforts.
- 1.5.9. The DOE and Team IBM project manager will be responsible for reviewing and approving all staff and staff management modifications. The DOE project manager is responsible for final disposition of any staffing modifications.
- 1.5.10. Based on the need to complete this project on schedule, it is assumed that only essential staffing changes will be made during this project.

1.6. Communications Management

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- 1.6.1. Adequate network access, including common e-mail capability and an electronic project file structure with appropriate access, will be provided to all authorized project team members or stakeholders as outlined in the Project Communications Management Plan.
- 1.6.2. The Department will establish an intranet site to be used as a project repository for various documents and project controls as determined by the Project Communications Management Plan. Department personnel will administer the site.
- 1.6.3. Telephone access will be provided and conference calls may be conducted as necessary.
- 1.6.4. Standard mail (first class letters, lower class packages) shall be available as necessary. Express letters or packages, or courier services shall be available with prior approval from the DOE and Team IBM project manager.
- 1.6.5. The DOE and Team IBM project manager will be responsible for reviewing and approving all Project Communications Management Plan modifications affecting this project.
- 1.6.6. It is assumed that all formal meetings, whether face-to-face or via teleconference/video conference, will have an assigned scribe to capture and publish minutes. All minutes should be filed per the Project Communications Management Plan.
- 1.6.7. Because all project stakeholders will ***not*** be collocated for this project, it is assumed that ad-hoc requests regarding project scope, schedule, cost, quality, staffing, communications, risk or procurement will be handled formally, via verbal or email request.
- 1.6.8. The project team recognizes increased complexity in project communications, as the project is being conducted within a matrixed organization structure.
- 1.6.9. Given the large geographic distribution of project team members, the project team will make every effort to utilize virtual teaming communications effectively.
- 1.7. Risk Management
 - 1.7.1. Any project team member or stakeholder that becomes aware of a potential risk factor is responsible for documenting risks identified that may affect this project and submitting such documentation to the DOE and Team IBM project manager, or the project risk manager. The DOE and



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Team IBM project manager will review the documentation and respond accordingly.

- 1.7.2. Risk management will be conducted throughout the project based on a methodology that reflects both DOE policies and procedures as well as IBM Method Blue.
- 1.7.3. The DOE and Team IBM Project Manager will be responsible for reviewing and approving all Project Risk Management Plan modifications affecting this project.
- 1.7.4. ERP projects are by their very nature extremely complex and high risk endeavors. To this end, Team IBM will leverage their intellectual capital and knowledge repositories for templates, lessons learned, and any recommendations that will minimize project risks and expedite a smooth implementation.

1.8. Procurement Management

- 1.8.1. Team IBM is responsible for coordinating contractual arrangements with Team IBM business partners. Team IBM will manage the business relationships with their partners in a timely and efficient manner.
- 1.8.2. Guidelines for submission and approval of invoices will be established based on the project task order and all referenced documents. The Team IBM business manager will be responsible for the timely submission of invoicing documents to the DOE project manager in his role as the Contracting Officer's Representative.
- 1.8.3. The DOE and Team IBM project managers will be responsible for reviewing and approving all Project Procurement Management Plan modifications affecting this project.
- 1.8.4. The DOE and Team IBM project managers will be responsible for approving staff resources provided by Team IBM and their business partners, with the final authority for approval and retention of Team IBM resources resting with the DOE project manager.

1.9. Configuration Management

- 1.9.1. DOE will provide Team IBM with their policies and procedures related to configuration management, and assist Team IBM in fulfilling the reasonable requirements of DOE's published configuration management standards.
- 1.9.2. Team IBM will provide DOE with alternatives and recommendations for configuration management support of the new Oracle Applications



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environment, and work closely with the Department to define comprehensive configuration management policies and procedures.

- 1.9.3. The DOE and Team IBM project manager will be responsible for reviewing and approving all Project Configuration Management Plan modifications affecting this project.

1.10. Technical Support

- 1.10.1. Team IBM is responsible to support the desktop hardware and software provided and utilized by Team IBM personnel.
- 1.10.2. The Department will provide written technical standards and guidelines for necessary connectivity to DOEnet.
- 1.10.3. Team IBM will work with the Department to coordinate resources from the Tech Support group necessary for the installation of the RS/6000 hardware, as outlined by the project schedule and approved in advance.
- 1.10.4. It is assumed that IBM technical support will provide adequate resources as outlined in the project schedule and approved in advance.

2. Constraints²

2.1. Scope Management

- 2.1.1. Scope modifications could negatively impact the scheduled delivery date of this product.
- 2.1.2. Stated assumptions of the original SOW were that there would be no custom reports or customization of the system for deploying the new Oracle Federal Financial Applications. The project team's experience is that some level of customized reporting and extensions to baseline functionality are commonplace, and if necessary, may impact the scope of the project. The Department has recognized this and optional performance objectives have been defined in the Statement of Work, based on a time and materials basis.
- 2.1.3. The project team recognizes that DOE's SGL and Business Structure initiatives will be conducted as parallel activities, and may become critical path to the BMIS-FM project. The Department and the project team have made every effort to evaluate, plan for and mitigate potential impacts.

2.2. Schedule/Time Management

² Constraints are factors that will limit the project management team's options.

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- 2.2.1. DOE has requested that the schedule be modified from the original proposal based on available funding appropriations. The DOE and Team IBM project managers have evaluated alternatives to mitigate the impact of these modifications, yet recognize that these modifications may constrain the ability of the project team to meet interim dates identified in the original proposal and response documents. Detailed project plans based on these factors will help establish a level of confidence in the modified schedules.
- 2.2.2. The DOE and Team IBM project managers recognize the tight labor pool for the type of resources required by a project of this nature. The availability of key DOE and IBM resources through various phases of the project, given current mission and workload, may constrain the ability of the project team to meet target dates.
- 2.3. Cost/Budget Management
 - 2.3.1. The realities of Federal appropriations (i.e. funding requests and apportionments reduced or delayed) require flexibility in project management, scheduling and budgeting. The project team has reduced initial staffing levels to match reduced funding baselines.
 - 2.3.2. The DOE project manager is fully aware of this constraint, and has concentrated his efforts in this area through additional planning, forecasting and risk mitigation.
- 2.4. Quality Management
 - 2.4.1. No constraints are apparent at this time.
- 2.5. Human Resource/Staff Management
 - 2.5.1. The tight resource pool and labor market may constrain the ability of the project manager to 'crash' the schedule should that become necessary. 'Crashing' is a process of assigning additional resources to the critical path activities to reduce the overall project schedule.
 - 2.5.2. Although it is anticipated that DOE will have adequate office space with necessary facilities and furniture sufficient to support the project team, organizational policies, procedures, and competing initiatives may constrain the ability of the project team to acquire additional office .
- 2.6. Communications Management
 - 2.6.1. The geographic dispersal of DOE, with multiple time zones, is a constraint to project communications. The project team has recognized this, and will employ a variety of virtual teaming techniques to minimize the impact of this factor on project progress.

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2.6.2. During the proposal phase, Team IBM agreed to provide their team with the necessary hardware to connect directly to the DOEnet environment. However, due to the variety of hardware vendors, configurations, and models, this has proven to be a difficult task, and has proven to be a constraint to the project team's ability to effectively communicate internally and externally. To mitigate this, Team IBM is reviewing the potential of establishing their own server for connecting to DOEnet.

2.7. Risk Management

2.7.1. No constraints are apparent at this time.

2.8. Procurement Management

2.8.1. No constraints are apparent at this time.

2.9. Configuration Management

2.9.1. No constraints are apparent at this time.

2.10. Technical Support

2.10.1. Team IBM is responsible for technical support of their desktop applications and connectivity to DOEnet. The Team IBM project manager does not anticipate this will be a full-time technical position. For this reason, it is difficult to find part-time resources on call to support this effort, and this may, from time-to-time, constrain the project team's ability to complete key activities.